

## Configuration Management (CM) Process Checklist

Date(s) of Assessment: \_\_\_\_\_ Project: \_\_\_\_\_  
 Assessor(s): \_\_\_\_\_ Process Assessed: \_\_\_\_\_  
 \_\_\_\_\_

		Y, N, NA	F, O	Comments
<b>ASSESSMENT PREPARATION</b>				
1	Have standards been identified to clearly define the process being assessed?			
2	Were guidelines used to prepare for the assessment?			
3	Has the project submitted any request for deviations or waivers to the defined process?			
4	Have entrance and exit criteria been established for the assessment?			
5	Were the appropriate stakeholders involved in the implementation of this process?			
<b>CONFIGURATION MANAGEMENT PROCESS OBJECTIVES</b>				
6	Is there evidence that the process requires the identification of configuration items (CIs) and work products?			
7	Is there a criteria used to select the configuration items and work products?			
8	Does the CM process assign unique identifiers to configuration items?			
9	Does the CM process specify when each configuration item is placed under configuration management?			
10	Does the CM process identify each configuration item owner?			

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11	Is there evidence that the CM Process establishes and maintains a configuration management and change management system for controlling work products? If so, is the CM & change management system(s) capable of the following:			
11a	Managing multiple control levels of CM?			
11b	Storing and retrieving CIs?			
11c	Storing and recovering archived versions of CIs?			
11d	Storing, updating, and retrieving CM records?			
11e	Creating CM reports?			
11f	Preserving the content of the CM system?			
11g	Revising the CM structure?			
12	Is there evidence that the CM system has created or released a baseline for internal use and/or delivery to the customer?			
13	Is there evidence of CCB authorization for creating or releasing a baseline?			
14	Is there a documented set of CIs that are contained in a baseline?			
15	Is the current set of baselines readily available?			
16	Is there evidence that changes to the work products under CM are tracked and controlled?			
17	Is there evidence that configuration audits have been performed? If so,			
17a	Do these CM audits confirm that the configuration records correctly identify the configuration of the CIs?			
17b	Does the CM audit review the structure and integrity of the items in the CM system?			
17c	Does the CM audit confirm the completeness and correctness of items in the CM system?			

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Y=Yes, N=No, NA=Not Applicable, F=Finding, O=Observation

For more information, please visit the NASA GSFC Software Assurance Website, at <http://sw-assurance.gsfc.nasa.gov>.

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		Y, N, NA	F, O	Comments
17d	Does the CM audit confirm compliance with applicable CM standards & procedures?			
17e	Is there evidence that action items from the CM audit have been tracked to closure?			
18	Has a CM Plan been established?			
19	Is there evidence that the CM Plan's content is maintained to reflect any changes?			
20	Has a schedule been developed that identifies major CM milestones, task dependencies, critical paths, and constraints?			
21	Have CM resources been allocated to adequately implement the project CM process?			
22	Have CM training requirements been identified?			
23	Are CM risks identified, documented, analyzed, prioritized, and updated, as appropriate?			
24	Is there evidence of higher level management review of the CM process?			
25	Is there evidence of work products, measures, measurement results, and improvement information derived from planning and performing the CM process to support the future use and improvement of the organization's processes and process assets?			
26	Have commitments to the CMP been established and maintained?			
27	Has the project obtained commitment from the stakeholders responsible for performing and supporting the CMP's execution?			
<b>POST REVIEW ACTIVITIES</b>				
28	At the conclusion of the assessment, is an understanding reached on the validity and degree of completeness of the CM Process?			

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		Y, N, NA	F, O	Comments
29	Did all designated parties concur in the acceptability of the CM Process?			
30	Are there any risks, issues, or request for actions (RFAs) that require follow-up?			
31	Is there a process in place for reviewing and tracking the closure of risks, issues, or RFAs?			
32	Have all artifacts been placed under formal configuration control?			
33	Were Lessons Learned addressed and captured?			
<b>REFERENCE ITEMS/DOCUMENTS</b>				
<i>CMMI Version 1.1, Guidelines for Process and Integration and Product Improvement</i>				
<i>NPR 7120.5B, NASA Program and Project Management Processes and Requirements</i>				
<i>ISD Software Configuration Management Process, 580-PC-019-01</i>				

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**COMMENTS PAGE** \_\_\_\_\_ **of** \_\_\_\_\_

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